

REQUEST FOR PROPOSALS

MARICOPA ASSOCIATION OF GOVERNMENTS (MAG) LITTER PREVENTION AND EDUCATION PROGRAM FOR THE REGIONAL FREEWAY SYSTEM IN THE MAG REGION

June 22, 2006



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PUBLIC NOTICE
REQUEST FOR PROPOSALS
LITTER PREVENTION AND EDUCATION PROGRAM
FOR THE REGIONAL FREEWAY SYSTEM IN THE MAG REGION

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for a Litter Prevention and Education Program for the Regional Freeway System in the MAG Region. The purpose of the program will be to develop and implement a strategy for increased public awareness as a way to reduce litter along freeway and highway corridors in the MAG Region and to lead to changes in behavior among offenders. The project will be completed in a maximum 24 months from the date of the notice to proceed at a cost to be determined based on the successful consultant proposal.

On January 25, 2006, the MAG Regional Council approved the expenditure of \$200,000 in Proposition 400 funding to be spent on Litter Prevention and Education. The funding will augment \$100,000 in ADOT resources for litter education. Additional resources may be available.

Detailed proposal requirements may be obtained by contacting the MAG Office at the address indicated below or may be downloaded from <http://www.mag.maricopa.gov/employment.cms>. For further information, please submit questions in writing by fax to the attention of Kelly Taft at (602) 254-6309, or via e-mail at ktaft@mag.maricopa.gov.

Proposals will be accepted until 12:00 Noon Mountain Standard Time on Wednesday, July 12, 2006 at MAG, 302 N. 1st Ave., Ste 300, Phoenix, Arizona 85003, attention Kelly Taft.

PRE-PROPOSER'S CONFERENCE

A pre-proposer's conference will be held at 1:00 p.m. on Tuesday, June 27, 2006, to provide additional information and accept questions regarding this Request for Proposals. The pre-proposer's conference will take place at the MAG Offices, 302 N. 1st Avenue, Phoenix, in the second floor Saguaro Room.

CONSULTANT REVIEW PROCESS AND TIMELINE

All responses to the Request for Proposals (RFP) that are received by the deadline of 12:00 Noon Mountain Standard Time (MST) will be opened and read at 12:30 p.m. MST on Wednesday, July 12, 2006, at the MAG Offices, 302 N. 1st Avenue, Phoenix, in the second floor Cholla Room. A multi-agency selection panel will review the responses to the RFP and determine if follow-up interviews are warranted. Should follow-up interviews be warranted, they will take place on Monday, July 17, 2006, so respondents should plan to be available on this date. Due to time constraints associated with this project, it is anticipated that firms selected for interviews will be contacted one to two business days prior to the in-person interview date, so respondents should plan accordingly. The selection team will make a recommendation regarding the selected consultant to the Transportation Policy Committee (TPC) on Wednesday, July 19, 2006, which would vote on whether to forward the recommendation to the MAG Regional Council. If a recommendation is forwarded, the Regional Council would hear the recommendation on July 26, 2006. If the Regional Council approves the TPC recommendation, a notice to proceed would be issued to the successful consultant shortly thereafter.

**Maricopa Association of Governments Request for Proposals –
Litter Prevention and Education Program for the Regional Freeway System in the MAG Region**

SCOPE OF WORK

Introduction

The Maricopa Association of Governments (MAG) is requesting proposals from qualified consultants for a **Litter Prevention and Education Program for the Regional Freeway System in the MAG Region**. The purpose of this RFP is to solicit proposals from vendors with the resources, experience and abilities to provide an array of communication services, including public education and outreach efforts that will increase awareness of the freeway litter problem in the MAG Region and lead to measurable changes in behavior among offenders. Services will include public relations, marketing, advertising and the development of partnerships with businesses, organizations or other entities that will provide additional value in promoting litter control efforts. The campaign must resonate with both majority and minority ethnic populations and be readily adaptable for Spanish-speaking audiences.

Proposers are asked to provide information on how they would fulfill the terms of the enclosed scope of work as well as detailed cost estimates in two areas, including:

- 1) Cost of developing an implementation strategy for a preselected campaign slogan, "Don't Trash Arizona," including creative costs for development of an original logo to accompany the slogan.
- 2) Campaign implementation, including developing a media strategy and the purchase and production of all outreach, educational and advertising materials and recommended media buys.

Background

The Maricopa Association of Governments is the designated Metropolitan Planning Organization (MPO) for transportation planning for the metropolitan Phoenix area. With the passage of Proposition 400 in November 2004, a new Regional Transportation Plan (RTP) was set in place to guide transportation investments for the next 20 years. The Maricopa Association of Governments and the Transportation Policy Committee (TPC) – working with local communities, state and regional agencies, business leaders, and the public – developed the RTP. Technical studies conducted across the region, along with extensive public outreach and support from the business community, have all contributed to building a transportation plan that is designed to balance various needs throughout the region while meeting performance-based standards. One element of the RTP is funding to supplement existing ADOT resources for freeway maintenance and litter control. In addition to adding funds to the RTP for landscaping, litter pickup and sweeping for the regional freeway system in the MAG Region, funds were made available for a litter prevention and education program. To find out more information about MAG, Proposition 400, or the Regional Transportation Plan, please visit MAG's Web site at www.mag.maricopa.gov.

Research suggests that prevention programs can change public perception and habits regarding litter. Programs targeted at public education and litter prevention, such as billboards, radio, television, Web sites, publications, brochures, advertisements, public service announcements, videos, freeway signage, and other education and outreach materials are options to be evaluated. Properly maintained freeways are important to the quality of life of the residents of this region and to the image projected to tourists and economic development prospects.

The TPC is interested in hiring a consultant to develop and implement a strategy to increase public awareness as a way to reduce litter on the regional freeway system in the MAG Region and to establish an evaluative process to measure the success of the program. This program will be developed in cooperation with MAG and the Arizona Department of Transportation.

On January 25, 2006, the MAG Regional Council approved the expenditure of \$200,000 in Proposition 400 funding to be spent on Litter Prevention and Education. The funding will augment \$100,000 in ADOT resources for litter education. Additional resources may be available. Proposers should present cost proposals based on sound judgment, experience and expertise.

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On March 9, 2006, The TPC Landscape Maintenance/Noise Mitigation Subcommittee received presentations from the California Department of Transportation (Caltrans) and the California Department of Conservation about litter control and recycling efforts in California. Detailed background information was provided regarding the “Don’t Trash California” campaign and the Beverage Container Recycling Program. California research identified the primary target audience as single 18-to-24-year old men and women, with an overlap for people ages 25 to 34. No statistically significant differences were found between litterers and non-litterers in terms of race, education, or household income.

During the meeting, Caltrans indicated that other states are allowed to utilize the “Don’t Trash” slogan and other advertising materials with prior approval from the department. The TPC is very interested in pursuing this as a slogan option, which would eliminate the need for costly creative development. Proposers are encouraged to address how they would utilize the “Don’t Trash Arizona” slogan and propose a strategy for implementing such a campaign.

Proposed Tasks

The consultant is encouraged to be creative in developing a sound analytical approach that achieves the goals for this project. The consultant is urged to be as specific as possible when describing the activities that will be performed to support each task. The consultant is also urged to make maximum use of matrices, tables and drawings in working papers produced for the project to ensure conciseness and clarity and to minimize the amount of text required. In preparing a proposal for consideration by MAG, the consultant will not be required to adhere only to the proposed tasks specified below. Additional tasks may be warranted.

Task 1 Refine Scope of Work

Throughout the course of this project, inquiry and discussion may result in some revisions to the Scope of Work and Project Schedule. As necessary, the consultant will refine the Scope of Work for this project based upon professional experience and input from MAG and ADOT. This work will be performed under the general direction of the MAG project manager. The consultant will prepare documentation of any such revision, including a revised labor/dollar allocation and project task cost breakdown, and submit the revision to MAG for approval.

Task 2 Review Existing Litter Programs in Arizona and Other States

Working with MAG and ADOT, the consultant will conduct a review of litter programs in Arizona and other states and document the results. For Arizona, the consultant will examine the Arizona Department of Transportation Program to ensure that the program developed by MAG complements the state program. The review of the program in Arizona and other states shall identify best practices. This review should, at a minimum, address the following: What litter prevention and education programs do Arizona and other states have for their freeway systems? What are the characteristics of the programs, such as the tasks involved and the products developed? What are the goals and objectives of other programs? How are these programs funded? How do these programs measure success?

Task 3 Define the Problem

Using the empirical research conducted under Task 2, the consultant will define the freeway litter problem. This should include at a minimum: Who are the primary offenders? Who is the target audience for the Litter Prevention and Education Program? What are the messages that have achieved measurable success?

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Task 4 **Establish Program Objectives and Measurement Criteria**

The consultant will define the objectives of the proposed litter prevention and education program based upon input from MAG staff and member agencies. This will establish the direction for the development of the program and provide a framework for evaluating the outcome. The objectives shall be stated in a way that the program outcomes can be measured and the success of the program gauged. Evaluation criteria should include a means of measuring success not only in changing knowledge and opinions but also behavior among offenders.

The issues to be considered should include at a minimum: What is the key message? What will the content look like? How will the message be conveyed? What methods are recommended to convey the message in the most effective manner? How will the program be branded through an identifiable logo and tag line? How will the message be crafted for this bilingual (English/Spanish) region?

The consultant will also develop measurement criteria that will be used to monitor the impact and ultimately the success of the program. For example, if a program objective is “changing knowledge, opinions and behaviors of the key audience,” objective measurement criteria need to be established that can be used to determine whether the program has brought about such changes in the target audience.

Task 5 **Develop a Recommended Program for the MAG Region**

Based on input from MAG, the consultant will develop a recommendation for the MAG Region. A matrix will be prepared which summarizes the advantages and disadvantages of each alternative to provide an understanding of how the final recommendation was derived.

Task 6 **Develop an Implementation Plan**

The consultant will prepare an implementation plan that identifies what needs to be done to carry out the recommended program. The implementation plan will identify at a minimum the sources of funding, what needs to be purchased, where program products will be placed, a schedule, and the identification of the roles and responsibilities of the parties for carrying out the program.

Task 7 **Implement Program**

If selected, the consultant will implement the agreed upon Litter Prevention and Education Program. All program costs, which may include but are not limited to, production costs, creative development, collateral material, brochures, camera ready copies, displays, signs, and media buys, are the responsibility of the consultant as part of this scope of work. All advertising, marketing, promotional and educational materials must clearly identify the program as a Maricopa Association of Governments/Arizona Department of Transportation program.

Task 8 **Program Evaluation**

Based on criteria identified under Task 4, the consultant will conduct an evaluation of the Litter Prevention and Education program to determine its success in reducing freeway litter in the MAG Region.

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Task 9 **Prepare Final Report**

The consultant will provide a draft final report with Executive Summary based on the working papers. After the MAG project manager reviews and provides comments to the draft final report, the consultant will finalize the report and provide a electronic version and ten (10) bound copies to the MAG project manager.

Deliverable Products

The products of this project are listed below. Each working paper should present information in a succinct manner with extensive use of tables, matrices and drawings. The working papers ultimately will be consolidated into a final report. An administrative draft of each working paper will be submitted in both electronic and hard copy format to the MAG project manager for review. Comments from the MAG project manager will be incorporated into the working paper by the consultant, before it is distributed for external review. Comments received during the external review process will be incorporated into the working paper by the consultant, which will then become a chapter in the draft final report.

1. Working Paper 1, Revised Scope of Work and Project Schedule, as necessary, listing specific project tasks and a schedule for completion of each task – an administrative draft for review in electronic and hard copy format; one electronic version and ten (10) hard copies of the revised Scope of Work and Project Schedule.
2. Working Paper 2, Review of Existing Litter Programs in Arizona and Other States (one initial administrative draft in electronic and hard copy format for MAG review; and one electronic version and ten (10) copies of the revised Working Paper).
3. Working Paper 3, Definition of Problem – one initial administrative draft in electronic and hard copy format for MAG review; and one electronic version and ten (10) copies of the revised Working Paper.
4. Working Paper 4, Program Objectives and Measurement Criteria – one initial administrative draft in electronic and hard copy format for MAG review; and one electronic version and ten (10) copies of the revised Working Paper.
5. Working Paper 5, Identification and Evaluation of Alternatives – one initial administrative draft in electronic and hard copy format for MAG review; and one electronic version and ten (10) copies of the revised Working Paper.
6. Working Paper 6, Recommended Program for the MAG Region – one initial administrative draft in electronic and hard copy format for MAG review; and one electronic version and ten (10) copies of the Revised Working Paper.
7. Working Paper 7, Implementation Plan – one initial administrative draft in electronic and hard copy format for MAG review; and one electronic version and ten (10) copies of the Revised Working Paper for distribution.
8. Draft Final Report with Executive Summary and Program Evaluation – one initial draft in electronic and hard copy format for MAG review, and one electronic version and ten (10) copies of the Final Report for distribution.
9. Monthly Progress Reports as defined in Appendix E.

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PROPOSAL REQUIREMENTS

Project Cost and Schedule

The estimated time frame for this project is 24 months from the date of the notice to proceed, with intermediate deliverables due in accordance with the schedule as agreed to between MAG and the consultant(s). The date of the notice to proceed is anticipated to be August 11, 2006.

Proposal Delivery

1. Ten [10] copies of the proposal must be submitted by 12:00 P.M. (Noon) Mountain Standard Time on Wednesday, July 12, 2006. Proposals should be delivered to:

Maricopa Association of Governments
Attention: Kelly Taft, Communications Manager
302 North 1st Avenue, Suite 300
Phoenix, Arizona 85003

Timely receipt of proposals will be determined by the date and time the proposal is received at the above address. Hand delivery is therefore encouraged. No late submissions, facsimile, or electronic submissions will be accepted.

Proposals will be opened publicly and the name of each entity submitting a proposal will be read at 12:30 PM on Wednesday, July 12, 2006 at the MAG Offices, Second Floor, Cholla Room, 302 North 1st Avenue, Suite 200 Phoenix, Arizona, 85003.

All material submitted in response to this solicitation becomes the property of MAG and will not be returned. After contract award, the proposals shall be open for public inspection except to the extent that the withholding of information is permitted or required by law. If the offeror designates a portion of its proposal as confidential, it shall isolate and identify in writing the confidential portions in accordance with Arizona Administrative Code R2-7-104; which shall be included in the proposal. Upon receipt of your written notification, MAG will review any portions of the proposal that the proposer considers to be confidential and then make a determination on what should be released. MAG will also notify you in writing of our determination and provide you with an opportunity to respond to our decision prior to releasing the proposal.

2. Any questions regarding this Request for Proposals should be submitted in writing to Kelly Taft, Communications Manager, by fax at (602) 254-6490; or by email to ktaft@mag.maricopa.gov. Responses to questions submitted will be posted on the MAG Web site at www.mag.maricopa.gov (click on employment/RFP link on the left-hand side). Additional information regarding MAG activities, including Committee meeting schedules, may be found on the MAG Web site at www.mag.maricopa.gov.
3. A pre-proposer's conference for the project has been scheduled for 1:00 p.m. on Tuesday, June 27, 2006, at the MAG Office, Second Floor Cholla Room, 302 North 1st Avenue, Phoenix, Arizona. If you wish to receive notes from the proposer's conference and a list of attendees, please contact the MAG project manager.

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Proposal Content

It is required that the proposal:

1. Be limited to a maximum length of 50 pages, including all RFP requirements, a cover letter, résumés, media samples and any appendices. The cover letter must be signed by a party authorized to bind the entity submitting the proposal.
2. Be prefaced by a brief statement describing the proposer's organization and outlining its approach to completing the work required by this solicitation. This statement shall illustrate the proposer's overall understanding of the project.
3. Contain a work plan that concisely explains how the consultant will carry out the objectives of the project. In the work plan, the proposer shall describe each project task and proposed approach to the task as clearly and thoroughly as possible.
4. Include a preliminary schedule for the project in bar-chart format. Indicate all work plan tasks and their durations. The schedule shall clearly identify project deliverable dates.
5. Contain a staffing plan for the project. The plan shall include the following in table format:
 - a. A project organization chart, identifying the project manager.
 - b. Names of key project team members and/or subconsultants. Only those personnel who will be working directly on the project should be cited.
 - c. The role and responsibility of each team member.
 - d. Percent effort (time) of each team member for the contract period.
 - e. The role and level of MAG technical staff support, if any.
6. Include résumés for major staff members assigned to the project. These résumés should focus on their experience in this type of project.
7. Each firm submitting a proposal is required to certify that it will comply with, in all respects, the rules of professional conduct set forth in A.C.R.R. R4-30-301 (see Appendix A), which is the official compilation of Administrative Rules and Regulations for the State of Arizona.
8. Include proposer's recent experience (last five years) in performing work similar to that anticipated herein. This description shall include the following:
 - a. Date of project.
 - b. Name and address of client organization.
 - c. Name and telephone number of individual in the client organization who is familiar with the project.
 - d. Short description of project.
 - e. Consultant team members involved and their roles.

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9. A labor cost allocation budget formatted as noted in Appendix B.
10. All firms proposing on this project will be required to include a "*Proposer's Registration Form*" (See Appendix C) in the submitted proposal. In addition, a "*Proposer's Registration Form*" is required to be included for each subcontractor proposed for this project.
11. The Disadvantaged Business Enterprise (DBE) requirements in the Code of Federal Regulations Title 49, Part 26 will apply to this Contract. See Appendix D, "MAG's Key DBE Regulatory Requirements". A complete copy of MAG's DBE program is available on request.
12. Each firm shall document within its proposal any potential conflicts of interest. A conflict of interest shall be cause for disqualifying a consultant from consideration. A potential conflict of interest includes, but is not limited to:
 - a. Accepting an assignment where duty to the client would conflict with the consultant's personal interest, or interest of another client.
 - b. Performing work for a client or having an interest which conflicts with this contract.
 - c. Employing personnel who worked for MAG or one of its member agencies within the past three years.

MAG will be the final determining body as to whether a conflict of interest exists.

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PROPOSAL EVALUATION AND SELECTION PROCESS

1. All proposals will be evaluated by an evaluation team consisting of MAG staff and MAG member agency staff. Evaluation criteria include the following:
 - a. Demonstrated understanding of the project through a well-defined work plan consistent with program objectives.
 - b. Clarity of proposal, realistic approach, technical soundness, and enhancements to elements outlined in this Request for Proposals.
 - c. Experience of the project manager and other project personnel in similar studies. Only those personnel assigned to work directly on the project should be cited.
 - d. Proven track record in this area of study. Proposers should identify the principal people who worked on past projects and the amount of time they devoted to the work effort.
 - e. Availability of key personnel throughout the project effort.
 - f. Price, except for the procurement of architectural or engineering (A&E) services.
 - g. Ability and commitment to complete the project within the specified time period, meet all deadlines for submitting associated work products, and insure quality control.
 - h. Recognition of work priorities and flexibility to deal with change and contingencies.
2. On the basis of the above evaluation criteria, selected firms submitting proposals may be interviewed prior to the selection of a consultant. Should follow-up interviews be warranted, they will take place on Monday, July 17, 2006, so respondents should plan to be available on that date. Due to time constraints associated with this project, it is anticipated that firms selected for interviews will be contacted within one to two business days prior to the in-person interview date, so respondents should plan accordingly. MAG strongly suggests that the project manager and key members of the consultant team be present at the in-person interview.
3. MAG may conduct discussions with offerors who submit proposals determined to be reasonably susceptible of being selected for award.
4. MAG reserves the right to:
 - a. Cancel this solicitation.
 - b. Reject any and all proposals and re-advertise.
 - c. Select the proposal(s) that, in its judgment, will best meet its needs.
 - d. Negotiate a contract that covers selected parts of a proposal, or a contract that will be interrupted for a period or terminated for lack of funds.

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ADMINISTRATIVE REQUIREMENTS

1. This Request for Proposals is for a cost-reimbursement plus fixed fee contract.
2. During the course of the project, a monthly progress report is required to be submitted within ten (10) working days after the end of each month until the final report is submitted. Each report shall include a comprehensive narrative of the activities performed during the month, an estimated percent complete for each project task, monthly and cumulative costs by task, activities of any subcontractors, payments to any subcontractors, a discussion of any notable issues or problems being addressed, and a discussion of anticipated activities for the next month (See Appendix D for format).
3. MAG shall retain ten percent (10%) of the contract amount, withheld from each invoice, as final payment until completion of the project to the satisfaction and acceptance of the work. Final payment shall be made after acceptance of the final product and invoice.
4. An audit examination of the consultant's records may be required.
5. The firm that is selected will be required to comply with Titles VI and VII of the Civil Rights Act of 1964. The contractor will comply with Executive Order 11246, entitled Equal Employment Opportunity, as amended by Executive Order 11375 and as supplemented in Department of Labor Regulations (41 CFR Part 60). The contractor will also be required to comply with all applicable laws and regulations of the U.S. Department of Transportation.
6. The firm selected will be required to comply with MAG insurance requirements, which may include: Workmen's Compensation, Architects and Engineers Professional Liability insurance, Commercial General Liability insurance, Business Automobile Liability insurance, and Valuable Papers insurance.
7. The firm selected is required to document any potential conflicts of interest during the contract period. A conflict of interest shall be cause for terminating a contract. A potential conflict of interest includes, but is not limited to:
 - a. Accepting an assignment where duty to the client would conflict with the consultant's personal interest, or interest of another client.
 - b. Performing work for a client or having an interest which conflicts with this contract.
 - c. Employing personnel who worked for MAG or one of its member agencies within the past three years.

MAG will be the final determining body as to whether a conflict of interest exists.

APPENDIX A

ARIZONA ADMINISTRATIVE CODE R4-30-301

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CH. 30

BOARD OF TECHNICAL REGISTRATION

R4-30-301

ARTICLE 3. REGULATORY PROVISIONS

R4-30-301. Rules of Professional Conduct

All registrants shall comply with the following rules of professional conduct:

1. A registrant shall not submit any materially false statements or fail to disclose any material facts requested in connection with an application for registration, certification, or subpoena.
2. A registrant shall not engage in fraud, deceit, misrepresentation or concealment of material facts in advertising, soliciting, or providing professional services to members of the public.
3. A registrant shall not knowingly commit bribery of a public servant as proscribed in A.R.S. § 13-2602, knowingly commit commercial bribery as proscribed in A.R.S. § 13-2605, or violate any federal statute concerning bribery.
4. A registrant shall comply with state, municipal, and county laws, codes, ordinances, and regulations pertaining to the registrant's area of practice.
5. A registrant shall not violate any state or federal criminal statute involving dishonesty, fraud, misrepresentation, embezzlement, theft, forgery, perjury, bribery, or breach of fiduciary duty, if the violation is reasonably related to the registrant's area of practice.
6. A registrant shall apply the technical knowledge and skill that would be applied by other qualified registrants who practice the same profession in the same area and at the same time.
7. A registrant shall not accept an assignment if the duty to a client or the public would conflict with the registrant's personal interest or the interest of another client without full disclosure of all material facts of the conflict to each person who might be related to or affected by the project or engagement in question.
8. A registrant shall not accept compensation for services related to the same project or professional engagement from more than one party without making full disclosure to all parties and obtaining the express written consent of all parties involved.
9. A registrant shall make full disclosure to all parties concerning:
 - a. Any transaction involving payments to any person for the purpose of securing a contract, assignment, or engagement, except for actual and substantial technical assistance in preparing the proposal; or
 - b. Any monetary, financial, or beneficial interest the registrant may hold in a contracting firm or other entity providing goods or services, other than the registrant's professional services, to a project or engagement.
10. A registrant shall not solicit, receive, or accept compensation from material, equipment, or other product or services suppliers for specifying or endorsing their products, goods or services to any client or other person without full written disclosure to all parties.
11. If a registrant's professional judgment is overruled or not adhered to under circumstances where a serious threat to the public health, safety, or welfare may result, the registrant shall immediately notify the responsible party, appropriate building official, or agency, and the Board of the specific nature of the public threat.

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12. If called upon or employed as an arbitrator to interpret contracts, to judge contract performance, or to perform any other arbitration duties, the registrant shall render decisions impartially and without bias to any party.
13. To the extent applicable to the professional engagement, a registrant shall conduct a land survey engagement in accordance with the April 12, 2001 Arizona Professional Lands Surveyors Association (APLS) Arizona Boundary Survey Minimum Standards, as adopted by the Board on June 15, 2001, the provisions of which are incorporated in this subsection by reference and on file with the Office of the Secretary of State. This incorporation by reference does not include any later amendments or editions.
14. A registrant shall comply with any subpoena issued by the Board or its designated administrative law judge.
15. A registrant shall update the registrant's address and telephone number of record with the Board within 30 days of the date of any change.
16. A registrant shall not sign, stamp, or seal any professional documents not prepared by the registrant or a bona fide employee.
17. Except as provided in subsections (18) and (19), a registrant shall not accept any professional engagement or assignment outside the registrant's professional registration category unless:
 - a. The registrant is qualified by education, technical knowledge, or experience to perform the work; and
 - b. The work is exempt under A.R.S. § 32-143.
18. A registered professional engineer may accept professional engagements or assignments in branches of engineering other than that branch in which the registrant has demonstrated proficiency by registration but only if the registrant has the education, technical knowledge, or experience to perform such engagements or assignments.
19. Except as otherwise provided by law, a registrant may act as the prime professional for a given project and select collaborating professionals; however, the registrant shall perform only those professional services for which the registrant is qualified by registration to perform and shall seal and sign only the work prepared by the registrant or by the registrant's bona fide employee.
20. A registrant who is designated as a responsible registrant shall be responsible for the firm or corporation. The Board may impose disciplinary action on the responsible registrant for any violation of Board statutes or rules that is committed by a non-registrant employee, firm, or corporation.

APPENDIX B

LABOR COST ALLOCATION BUDGET

LABOR COST ALLOCATION BUDGET - SAMPLE

CONSULTANTS LABOR		HOURS BY PERSONNEL AND TASK DESCRIPTION							
Personnel	Raw Direct Hourly Rate	1 (Task Description)	2 (Task Description)	3 (Task Description)	4 (Task Description)	5 (Task Description)	6 (Task Description)	Total Hours	Total Cost
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
Total Hours		0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Total Task Cost		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Fringe (or Overhead) Rate	1.??	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Total Labor with Fringe		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

REIMBURSABLE EXPENSES		EXPENSES BY TASK							
Description		1	2	3	4	5	6		Total Cost
Description (i.e. Postage)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Photocopy/Printing)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Travel)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Telephone)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Other)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Description (i.e. Miscellaneous)	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Total Reimbursable Expenses	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

SUBCONTRACTORS		HOURS BY TASK							
Company or Person	Hourly Rate	1	2	3	4	5	6	Total Hours	Total Cost
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
(NAME)	\$ 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	\$ 0.00
Total Hours		0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Total Subcontractor Cost	\$	0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

GRAND TOTAL		TOTAL COSTS BY TASK							
Description		1	2	3	4	5	6		Total Cost
Consultant Cost		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Fee @	0.10	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Subtotal		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Reimbursable Expenses		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
Subcontractors		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
GRAND TOTAL		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

APPENDIX C

PROPOSER'S REGISTRATION FORM

**Maricopa Association of Governments Request for Proposals –
Litter Prevention and Education Program for the Regional Freeway System in the MAG Region**

PROPOSER'S REGISTRATION FORM

All firms proposing as prime contractors or subcontractors on Maricopa Association of Governments (MAG) projects are required to be registered. **Please complete this form and return it with your proposal.**

If you have any questions about this registration form, please call the MAG Fiscal Services Manager, (602) 254-6300.

1. GENERAL INFORMATION:

Name of Firm: _____
Street Address: _____
City, State, ZIP _____
Mailing Address: _____
City, State, ZIP _____
Telephone Number _____
Fax Number: _____
E-mail address: _____
Web address: _____
Year firm was established _____

Check all that apply:

Is this firm a prime consultant? _____
Is this firm a sub-consultant? _____ Identify specialty: _____
Is this firm a certified DBE? _____ If so, by whom? _____
Is this firm currently debarred? _____
Is this firm currently the subject of debarment proceeding? _____

2. FINANCIAL INFORMATION

Firm's annual gross receipts (average of last 3 years):

_____ <\$300,000
_____ \$300,000 - \$599,999
_____ \$600,000 - \$999,999
_____ \$1,000,000 - \$4,999,999
_____ >\$5,000,000

Information will be maintained as confidential to the extent allowed by federal and state law. The undersigned swears that the above information is correct. Any material misrepresentation may be grounds for terminating any contract which may be awarded and initiating action under federal and state laws concerning false statements.

Name, Title Date

APPENDIX D

MAG'S KEY DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM REQUIREMENTS FOR CONSULTANT CONTRACTS

**Maricopa Association of Governments Request for Proposals –
Litter Prevention and Education Program for the Regional Freeway System in the MAG Region**

MAG’S KEY DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM REQUIREMENTS FOR CONSULTANT CONTRACTS

The Disadvantaged Business Enterprise (DBE) requirements in the Code of Federal Regulations Title 49, Part 26 will apply to this contract. A complete copy of MAG’s DBE Program is available by request to MAG’s DBE Liaison Officer, at 602/254-6300.

The Consultant will agree to ensure that DBEs, as defined in 49 CFR 26, have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with Federal funds provided under this agreement.

DBE Participation Goal and Reporting:

The DBE participation goal for this contract is 11 percent of the contract award. DBEs used for this contract must be certified by the Arizona Department of Transportation or the City of Phoenix prior to the award of the contract. A list of Certified DBE organizations is available at the Civil Rights Office of the Arizona Department of Transportation or the City of Phoenix.

The Consultant will be required to report monthly on: (1) the utilization of any subcontractors, and (2) any payments made to subcontractors (DBEs and non-DBEs).

Requirement for Proposal:

All firms proposing on this project will be required to include a completed “Proposer’s Registration Form” (See Appendix D) with their proposal. In addition, a completed Proposer’s Registration Form must be included with the proposal for any subcontractors used on this project.

General Requirements for Proposals and Contract:

All proposers will be required to include the following information in their proposal and contract:

1. A clear and concise description of the work that each DBE will perform
2. The dollar amount of the participation of each DBE firm participating
3. Written documentation of the proposer’s commitment to use a DBE subcontractor(s) whose participation it submits to meet a contract goal
4. If the contract goal is not met, evidence of good faith efforts to meet the goal

Contractor and Subcontractor Assurance:

MAG will incorporate into each contract it signs with a Prime Contractor, and require in each subcontract (that a Prime Contractor signs with a Subcontractor), the following assurance:

“The Contractor, Subrecipient or Subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR 26 in the award and administration of USDOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as MAG deems appropriate.”

Prompt Payment Provision:

“The Prime Contractor will pay Subcontractors for satisfactory performance of contracts no later than fourteen (14) calendar days from the date that the Prime Contractor receives payment from MAG. The Prime Contractor will also return retainage payments to the Subcontractor within fourteen (14) calendar days from the date of satisfactory completion of work.”

Prime Contractors must:

1. Provide the Subcontractor with the name, address and phone number of the person to whom all invoices/billings and statements must be sent.
2. Pay Subcontractors and suppliers within fourteen (14) days of receipt of payment from MAG.
3. Stipulate the reason(s) in writing to the Subcontractor or supplier and to MAG for not abiding by the prompt payment provision. Possible reasons include:
 - a. Failure to provide all required documentation
 - b. Unsatisfactory job performance
 - c. Disputed work
 - d. Failure to comply with other material provisions of the contract
 - e. Third-party claims filed or reasonable evidence that a claim will be filed

**Maricopa Association of Governments Request for Proposals –
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- f. Reasonable evidence that the contract cannot be completed for the unpaid balance of the contract sum or a reasonable amount for retainage.

Subcontractors must:

- 1. Submit invoices or billing statements to the Prime Contractor's designated contact person in an appropriate format and in a timely manner. The format and the timing of billing statements must be specified in the contract(s) between the Prime Contractor and the Subcontractor(s).
- 2. Notify MAG in writing of any potential violation of the prompt payment provision.

MAG will implement appropriate mechanisms to ensure compliance with the requirements of all program participants.

The mechanisms MAG may use include, but are not limited to:

- 1. MAG will notify Subcontractors (DBE and Non-DBEs) of the Prime Contractor's responsibility for prompt payment and encourage Subcontractors to notify MAG in writing with any possible violations to the prompt payment mechanism.
- 2. Withholding payment from Prime Contractors who do not comply with the prompt payment provision noted above, where it has been determined by the MAG DBELO that delay of payment to the Subcontractor is not justified.
- 3. Stopping work on the contract until compliance issues are resolved.
- 4. Terminating the contract.

MAG will verify that the work committed to DBEs, at the time of the contract award, is actually performed by DBEs.

This will be accomplished by:

- 1. Requiring Prime Contractors to report Subcontractor(s) (DBE and Non-DBEs) work performed in each monthly progress report along with an indication of the number of hours worked, any costs incurred and the amounts paid to the DBE(s).
- 2. Ensuring that DBE participation is credited toward the overall goal or contract goal(s) only when payments are actually made to DBE firms.

APPENDIX E

PROGRESS REPORT FORMAT

**Maricopa Association of Governments Request for Proposals –
Litter Prevention and Education Program for the Regional Freeway System in the MAG Region**

(Progress Report Format - SAMPLE)

(Consultant's Letterhead)
April 15, 2000

(MAG Project Manager)
Maricopa Association of Governments
302 North First Avenue, Suite 300
Phoenix, Arizona 85003

Re: Progress Report No. 3 and Invoice for the Period of March 2000

For Each Task, the consultant is to provide the percent of work completed to date, a narrative describing the work accomplished, data obtained, problems encountered, meetings held and reports and/or data produced. It is the responsibility of the consultant to document that the work accomplished for each task during the reporting period is commensurate with the amount of money billed for the task in the invoice.

The narrative describing the work accomplished should be of sufficient detail to enable the Project manager to clearly understand the progress on the task during the reporting period. Wherever possible, the consultant should submit along with the progress report appropriate documentation of work accomplished, such as partial or complete draft technical reports or working papers, etc.

TASK 1 - DATA COLLECTION

Percent of Work Completed: 100 percent.

Work Accomplished: A database in both hard copy and electronic format was developed and a methodology for keeping the database current was established.

Data Obtained: Information on the transportation facilities was secured for each of the facilities in the study area. The data included, but was not limited to: name, location, and current and historical traffic levels.

Meetings Held: The following meetings were held in connection with the data collection effort:

March 15, 2000, with the MAG project manager to review data collected for the facilities.

March 21, 2000, with the Advisory Committee to obtain input on the data collection process.

March 23, 2000, with MAG staff to review comments on preliminary database.

March 25, 2000, with the public and special interest groups to obtain input on the distribution of the database.

Reports or Data Produced: A database in electronic format was produced and provided to MAG staff on March 29, 2000.

TASK 2 - INVENTORY

Percent of Work Completed: 100 percent.

Work Accomplished: A facilities inventory was completed, and the data obtained in Task 1 were compiled into a Draft Inventory Technical Report for distribution to the Advisory Committee.

Data Obtained: See Task 1.

Meetings Held: The following meetings were held:

March 1, 2000, met with MAG staff to finalize the outline for the Inventory Technical Report.

March 10, 2000, met with the MAG project manager to obtain suggestions on methods for comparing facility information.

**Maricopa Association of Governments Request for Proposals –
Litter Prevention and Education Program for the Regional Freeway System in the MAG Region**

Reports or Data Produced: A draft Inventory Technical Report was produced and distributed to members of the Advisory Committee for review and comment.

TASK 3 - FORECASTS

Percent of Work Completed: 100 percent.

Work Accomplished: Forecasts of travel demand on inventoried facilities were prepared for 2000, 2010 and 2020. The forecasts were consistent with County control totals reviewed by the Advisory Committee last month. The forecasts included a breakdown by facility type.

Data Obtained: See Task 1.

Meetings Held: March 21, 2000, met with MAG staff to discuss comments on preliminary forecast results.

Reports or Data Produced: A draft forecasts report was produced and distributed to members of the Advisory Committee for review and comment.

TASK 4 - DEMAND/CAPACITY ANALYSIS AND FACILITY REQUIREMENTS

Percent of Work Completed: 60 percent.

Work Accomplished: An hourly capacity was computed for each of the inventoried facilities using the federal guidance provided by MAG staff.

Data Obtained: See Task 1.

Meetings Held: A meeting was held on March 25, 2000 to discuss the differences between the capacity calculations for this study versus previous studies.

Reports or Data Produced: None. However, a draft set of capacity estimates is enclosed documenting the assumptions and data input used to prepare the estimates.

TASK 5- ALTERNATIVES

Percent of Work Completed: 25 percent.

Work Accomplished: Other regional plans were examined to determine the type of alternatives that were used to meet future demand.

Data Obtained: Regional plans from San Diego, Los Angeles, Denver, Seattle Tucson and Chicago were collected.

Meetings Held: On March 18, 2000, a meeting was held with planners for the Pima Association of Governments to discuss alternatives.

Reports or Data Produced: None.

TASK 6 - EVALUATION OF ALTERNATIVES

Work on this task has not begun.

TASK 7 - RECOMMENDATIONS

Work on this task has not begun.

TASK 8 - IMPLEMENTATION

Work on this task has not begun.

Problems Encountered

**Maricopa Association of Governments Request for Proposals –
Litter Prevention and Education Program for the Regional Freeway System in the MAG Region**

Some of the capacity calculations prepared for the study were different from the capacity calculations used in previous studies. These differences were discussed and resolved at a meeting held with MAG staff on March 25, 2000.

Invoice: The enclosed invoice is for the third progress payment of \$17,679.20. The total amount billed to date is \$48,250.00.

Sincerely,

Project Manager Name

Project Manager Title

Enclosure

APPENDIX F

TAXPAYER ID FORM

**PAYER’S REQUEST FOR
TAXPAYER IDENTIFICATION NUMBER
AND PAYEE CERTIFICATION**

Name: _____

Address: _____

Employer Identification Number: _____

Social Security Number: _____

Please Circle One:

Corporation

Sole Proprietor

Partnership

Certification: Under penalty of perjury, I certify that:

- (1) The number shown is my correct taxpayer identification number and;
- (2) I have not been notified by the Internal Revenue Service that I am subject to backup withholding.

Signed

Date